

FIG. 1

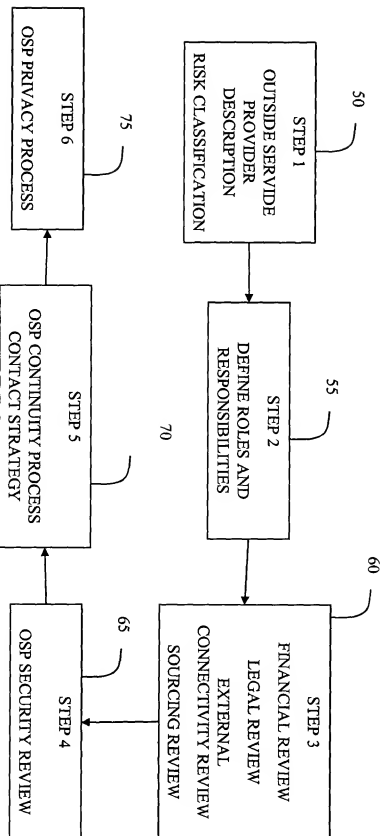


FIG. 2

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90 Name of Outside Service Provider: OSP 1 85

County Residency / Domicile:

95 Street City State Zip

Location where OSP Services are provided:

Street City State Zip

100 Select Production JPMorganChase applications that OSP accesses and/or supports: 120 125 130 135

110 **Production Applications**

Name of Application	Criticality	Sensitivity	Information Owner
Application 1	<input type="text"/> Critical	<input type="text"/> Sensitive	<input type="text"/> Executive
Application 2	<input type="text"/> Critical	<input type="text"/> Sensitive	<input type="text"/> Executive

140 Select Development / UAT JPMorganChase applications that OSP accesses and/or supports: 150 155 160 165 170 175

150 **Development and UAT Applications**

Name of Application	Criticality	Sensitivity	Information Owner
Application 1	<input type="text"/> Critical	<input type="text"/> Sensitive	<input type="text"/> Executive
Application 2	<input type="text"/> Critical	<input type="text"/> Sensitive	<input type="text"/> Executive

180 Does the OSP subcontract to another vendor? 195 Yes No 200 205 210 215

190 **OSP Subcontractor**

Name of Vendor	Contact	Vendor Primary Location	Vendor Recovery Location
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

FIG. 3

Business Impact Rating

Customer Customer Impact relates to the quality of service to existing customers disaster situation. There may be intangible losses related to the degradation of service quality which will not be apparent immediately but may create a significant financial impact in relation to the duration of the outage.	Financial Financial Impact relates strictly to financial losses, which are a result of not providing business functions/services within certain time-frames
Time Frame What is the allowable delay of service is for each business function/service, using the following time-frames?	Regulatory Regulatory/legal impact relates to obligations with agencies, organizations and customers to which the Business Unit must comply. This includes compliance with governmental and industry regulations, contracts and service level agreements with customers, vendors, and outside agencies.
Internal Service Internal Service Agreement impact relates to the responsibilities of the Business Unit to other areas of the Corporation (e.g. as a service provider).	Industry Competition Industry/Competitive Edge relates to the reputation of the corporation.
The Department Rating is: Critical	per situation the reputation

Compute Impact Rating

Note: Only define continuity resources if calculated Impact Rating is Critical.

FIG. 4

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270 Country Impact Risk

275 Is there a possibility of that economic conditions and events might adversely affect JPMorganChase?

300 Is there a possibility of that social conditions and events might adversely affect JPMorganChase?

305 Is there a possibility of that political conditions and events might adversely affect JPMorganChase?

280 Yes No

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310 Rating: High

282 Date: 08-13-2002

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Country Impact Risk	Yes	No	Government Advisory	Description
Is there a possibility of that economic conditions and events might adversely affect JPMorganChase?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>
Is there a possibility of that social conditions and events might adversely affect JPMorganChase?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>
Is there a possibility of that political conditions and events might adversely affect JPMorganChase?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>

Government Advisory
Travel Restrictions
WAR
Other

FIG. 5

APPLICATION DEVELOPMENT				
Question	Yes	No	NA	Comments
Is there a process in place to ensure that malicious code is not introduced into a JPMorgan Chase system? If yes, please provide this process.				
Has the vendor attained industry-standard (e.g., ISO 9000, SEI CCM) certification? If yes, please provide the certification information.				
Is a copy of all source code and documentation under development made periodically and stored at a JPMorgan Chase facility? If yes, please provide this process.				

FIG. 7

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575 **Plan**

580 **Has the business continuity plan been tested within the past 12 months? (If yes please indicate the date(s).)**

585 **Has the next business continuity test been scheduled within 12 months of the previous exercise? (If yes please indicate the date(s).)**

	Yes	No	N/A	Comments
1. Has an alternate site been selected for processing business functions in the event the existing location is unavailable?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>
2. Is a business continuity plan documented for the resumption of the business and service delivery at a different location or in a different location or in a way than normal?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>
3. Does the business recovery plan provide the information required to react to an event, to resume and continue critical business services/functions, and to ultimately return to business as usual?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>
4. Does the plan include the documentation of both the business and associated technology requirements?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>
5. Does the plan account for the loss of critical applications/systems (e.g. data center outage)?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>
6. Does the plan account for the loss of the primary facility?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>

FIG. 8

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OSP Communication Strategy

Name	Employee ID	Cost Center
Jodi R. Miller	123456	54321
Graham de Gotal	123456	54321
Dianne O'Boyle	123456	54321

Add New Contact

Back to OSP Steps

605

Add New Contact

Name:

Employee ID:

Cost Center:

Primary Work Location:

Primary Work Address:

Primary Work Region:

Primary Work Branch:

Submit

FIG. 9

FIG. 10

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Please Select a Category

☒ Customer Servicing Processes

☒ Data Destruction and Disposal Procedures

☒ Data Extraction and Modification

☒ Development and QA/QAT Environment Processes

☒ Encryption Practices

☒ Outside Service Provider Practices

☒ Related Applications and Processes

☒ Website Practices

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	Yes	No	N/A	Comments/Process
Are customer service agents trained to safeguard the information they have access to from social engineering tactics? If so Please attach the procedure / awareness documentation.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>
Are customer service agents trained to not to enter sensitive information into comment fields that may not require authorization? If so Please attach the procedure / awareness documentation.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>
Are there procedures that define what a customer service agent may deliver from this application to customers and/or employees via the E-Mail contact channel? If so Please attach the procedure / awareness documentation.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>
Are there procedures that define what a customer service agent may deliver from this application to customers and/or employees via the Fax contact channel? If so Please attach the procedure / awareness documentation.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>
Are there procedures that define what a customer service agent may deliver from the application to customers and/or employees via the Fax contact channel? If so Please attach the procedure / awareness documentation.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>
<input type="button" value="Submit"/> <input type="button" value="Reset"/>				

Senior Business Executive		Line Of Business		Outside Service Provider		Retail & Middle Market Financial Services Status	
Norman Buchan	Chase Auto Finance	<input type="checkbox"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>
Richard Streetford	Chase Cardmember Services	<input checked="" type="checkbox"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>
Steve Rosella	Chase Home Finance	<input type="checkbox"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>
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OSP Name	Managing Risk	Confidentiality	Date Privacy	Financial	Sourcing Assessment	Legal	External Connectivity	Business Impact Risk	Country Risk	Risk Acknowledgment	Corrective Action Plan
OSP 1	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Critical	LOW	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
OSP 2	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Critical	LOW	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
OSP 3	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Critical	LOW	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
OSP 4	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Critical	LOW	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
OSP 5	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Critical	LOW	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

Back to OSP State of Health

FIG. 13